HEALTH RESEARCH AND DEVELOPMENT GRANTS 1992 - 1993

PROGRAM GUIDELINES

Ministry of Health
Ontario

PREFACE

This publication describes the extramural research programs of the Ministry of Health. Information regarding the general purpose and areas of support for each program is given in broad terms. Details regarding financial and other administrative requirements are provided for the programs administered by the Training and Research Branch.

This publication is distributed annually to the research offices of Ontario universities, District Health Councils, Public Health Units, and the Ontario Government Bookstore. Individual copies are also available on request from the Ministry.

Applicants are encouraged to seek information on special problems or areas of doubt by contacting the Ministry.
Inquiries may be directed to:

Senior Consultant, Research
Training and Research Branch
Ministry of Health
Hepburn Block, 8th Floor
80 Grosvenor Street
Toronto, Ontario
M7A 1R3

(416) 327-8367

SUMMARY OF PROGRAMS

AREA OF SUPPORT	PROGRAM	SUBPROGRAM	SUBMISSION DATE	EARLIEST FUNDING DATE	FIRST APPROVAL	RENEWAL	LIMIT
RESEARCH UNITS	HEALTH SYSTEM LINKED RESEARCH UNITS		NO GENERAL COMPETITION FOR 92-93	JULY 1	5 YEARS	ONCE UP TO 5 YEARS	NONE
RESEARCH PERSONNEL	HEALTH RESEARCH PERSONNEL DEVELOPMENT	GRADUATE STUDIES FELLOWSHIP	JAN 15	JULY 1	MASTER'S UP TO 2 YEARS; PH.D UP TO 4 YEARS	NONE	
		RESEARCH FELLOWSHIP	JAN 15	JULY 1	UP TO 2 YEARS	ONCE, UP TO 1 YEAR	
		CAREER SCIENTIST	NOV 15	JULY 1	5 YEARS	ONCE, UP TO 5 YEARS	
RESEARCH PROJECTS	HEALTH CARE SYSTEMS RESEARCH	RESEARCH	NOV 1 MAY 1	APR 1 OCT 1	UP TO 2 FISCAL YEARS	UP TO 2 YEARS	NONE
		FEASIBILITY/ FORMULATION	ANY TIME	6 WEEKS AFTER RECEIPT	UP TO 9 MONTHS	NONE	15,000
		INFORMATION	NOV 1 MAY 1	APR 1 OCT 1	UP TO 12 MONTHS	NONE	15,000
		WORKSHOP/ CONFERENCES	ANYTIME	6 WEEKS AFTER RECEIPT	UP TO 1 YEAR	NONE	5,000

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INTRODUCTION

The World Health Organization defines health as "the extent to which an individual or group is able, on the one hand, to realize aspirations and satisfy needs; and, on the other hand, to change or cope with the environment". This broader meaning of health emcompasses the conventional medical and public health systems for care, but also emphasizes the critical importance of factors outside the health care system in determining health, such as the social and physical environments, life-style and behaviour.

Recognizing that initiatives both within and outside the formal health care system are needed, Ontario's first health goals are to shift the emphasis from illness treatment to health promotion and disease prevention; to foster strong and supportive families and communities; to ensure a safe, high quality physical environment; to increase the number of years of good health by reducing illness, disability and premature death; to provide accessible, affordable and appropriate health services for all.

An independent dimension of health care encompasses the different target groups that have been identified by the Ministry as requiring special attention: these groups include Native people, women, francophones, multicultural groups and residents of Northern Ontario.

Recently the Ministry has focused on a number of highly specialized areas where demand for treatment is high: AIDS, cancer, diabetes, emergency, perinatal and cardiovascular care.

Within this multidimensional framework for health care goals, the Ministry's main responsibilities are to co-ordinate policy development, evaluate services and programs for impact and cost-effectiveness, and monitor progress. The overall objective of the Ministry's research and development programs is to generate, disseminate and use information of the highest calibre, to ensure that health resources are used effectively and the health of Ontarians is improved significantly.

RESEARCH INTERESTS

Within the scope of the overall objective of the research programs, the Ministry has particular interest in encouraging research in the following areas:

Use and Provision of Health Services

In order to plan and implement changes in the system for delivering health care, there is a need to determine the "need" and "want" components of demand for health services; assess whether the existing type and structure of resources meet current needs; and estimate future needs, and the adjustments to the system that will be required.

Investigations into the following factors are of interest:

- utilization of medical services, including diagnostic and therapeutic techniques, and services provided by other health professionals
- variations in physicians' patterns of practice
- development and implementation of appropriate clinical standards and guidelines
- patient outcomes
- mode of payment, and effect on services provided
- patient need and demand for services, including demographic trends, environmental and socio-economic influences.

Health Human Resources

Research is needed to determine:

- the impact of different health system organization models on human resource requirements

- the impact of clinical training in different settings on patterns of practice and delegation
- the impact of occupational stress and other factors on recruitment and retention of health professionals
- the impact of educating clinical trainees on the cost of patient care
- the impact of multi-disciplinary training on patterns of practice

Technology Assessment

Technology encompasses devices, drugs, procedures and systems used in the provision of health services. Systematic investigation of new technologies is needed to determine their appropriate clinical applications, and to assist the Ministry in establishing guidelines for their distribution and rational use. Of particular interest are research studies that compare new and existing technologies from the perspectives of efficacy, effectiveness, efficiency, and patient outcome, including quality of life and preference.

Community Health

Evaluative studies are needed of the broad range of factors determining health, and the organization and delivery of cost-effective health care at the community level, to prevent disease and maintain health and functional independence, to identify and bring care to those in need, to determine the level of care required, and to enhance the health status of specific target groups.

Also of interest are studies to measure the effectiveness and increase the efficiency of mandatory public health programs, which are guided by standards that cover life-style behaviours, lifestage-related growth and development, health and the environment, and communicable disease control.

Health Promotion

There is a need for research into the development and diffusion of effective and efficient health promotion interventions. Multidisciplinary community action research projects involving partnerships between academics and community health promotion professionals are of particular interest. Priority areas include tobacco control, control of other drug use, food and nutrition, physical activity, social and environmental influences on health and public policy and programs.

Rehabilitation

The goal of rehabilitation is to enhance the independence and quality of life of people with disabilities. Research is needed to determine the physical, social, psychological, and vocational aspects of rehabilitation that contribute to these goals, to evaluate rehabilitation programs, particularly preparation for independent living, and to examine the problems faced by those with disabilities.

Epidemiological surveys on the incidence and prevalence of different conditions are needed to assess the impact on needs for rehabilitation services. Development and evaluation of outcome measures and new investigative approaches are also required. Projects are preferred which are multidisciplinary and incorporate the consumer perspective.

Aboriginal Health

In keeping with the government's commitment to aboriginal self-government, native-derived research aimed at the development and evaluation of health planning models, to enhance aboriginal control over health care delivery, particularly provincial services, is needed. Research toward the development of holistic models of care and culturally-sensitive programs to enhance the quality of life for First Nations is also required.

Women's Health

There is an interest in women's health research studies which would include both one-sex studies of female-specific diseases and studies that identify and examine the similarities and differences between men's and women's experience of disease, including risk factors, diagnosis, symptomatology, intervention and outcome.

Epidemiological studies are needed to determine women's health care needs and to evaluate the impact of changing demographic patterns and other factors on women's health.

For example, studies are needed to measure the effects of violence, poverty, new reproductive technologies, care-giving at home to persons with long term chronic health problems, and the double burden of work and family on women's health.

Maternal and Newborn Health

Research is needed to assess the cost-effectiveness of models of care in different settings and the effectiveness of support for women during birth. Investigations are needed to determine the causes of preterm labour and birth, the incidence of violence against pregnant women and infants, and the morbidity associated with childbirth. Studies are required to develop programs for family-centred maternity care, and models which support breast feeding, where consumers are partners in program planning.

AIDS

Acquired immunodeficiency syndrome continues to be of particular concern for the health care system. Studies of the epidemiology, diagnosis and treatment of AIDS are of interest. Epidemiology studies are required to define the natural history and risk factors of the syndrome, particularly among intravenous drug users, and to investigate the spread of infection to the heterosexual population. Evaluation is needed of prevention programs, particularly to measure the effectiveness of education strategies aimed at changing high-risk behaviours. Clinical

interventions need to be developed to prevent early asymptomatic HIV infection from progressing to AIDS. Improved screening tests and protocols for specific drug treatments need to be evaluated.

Cancer

An increasing incidence of invasive cancer, together with a host of factors such as aging of the population, increased longevity of patients, and heightened patient awareness and expectations regarding therapies, has resulted in a rapidly growing demand for cancer treatment services in Ontario.

Research is needed to plan the resources (the number of facilities, treatment units and personnel) required to provide treatment. Information is needed on the incidence of cancers, the proportion of cases to receive various forms of treatment, the volume of treatment to be delivered per case (e.g. number of fractions in the course of radiation therapy). Evaluation projects are required on innovative models of delivery which are cost effective yet of high quality. There is a need to investigate the roles of current providers of care and evaluate the development and utilization of alternative cancer care providers.

Diabetes

Research is required to support investigation into the prevention, treatment and long-term complications of Type 1, Type 2 and gestational diabetes. Evaluation of existing and new models for patient education and self-care are of primary interest. Research is needed into mechanisms for delivering care to high risk groups, particularly native peoples, seniors and those living in underserviced areas of the province.

Environmental Hypersensitivity

Systematic investigation of environmental hypersensitivity is required as a first step toward understanding the nature and causes of the disorder and developing standards for diagnosis. Controlled studies are also needed to evaluate the effectiveness of current and potential treatments.

HEALTH SYSTEM-LINKED RESEARCH UNITS

DEFINITIONS

Health system-linked research is the systematic investigation of the organization, performance and impact of components of the health care system.

A component of the system is a sub-group of human and physical health care resources that can be identified by either a particular target population, a specific practice discipline, a cohesive health care theme or goal, or an identified subdivision of the existing overall system.

PURPOSE

The purpose of the program is to facilitate and accelerate research that enhances components of the health care system, and leads to improvements in the provision of care.

A health system-linked research unit grant is intended to support a team of investigators carrying out research in partnership with an agency in the health system.

Research supported through this program is expected to encompass a programmatic approach to the evaluation of health services. Research programs that are limited to assessments of individual treatments (for example, a particular drug, or procedure) are not included.

Sustained core support will be provided to a multidisciplinary team, usually of three to five investigators, with one based at a sponsoring institution, engaged in a research program focused on health service problems of concern to the partner.

SPONSORING INSTITUTION

Ontario universities, affiliated teaching hospitals and institutes may act as sponsors for these grants.

The sponsor is responsible for the provision and maintenance of research and office space, and routine administration including accounting services. Title to all equipment purchased with grant funds is vested in the sponsoring agency.

The sponsoring agency is responsible for acquiring and maintaining liability insurance acceptable to the Ministry.

All research activities undertaken by units supported by these grants will be reviewed and monitored by the sponsor's ethics review committee to ensure they meet current standards of ethical acceptability.

PARTNER

The partner linked to the team of investigators reflects the component of the health system under investigation and may be: a clinical or community health service agency; a Ministry or other Government health program; or a voluntary organization of providers or consumers of health services.

By active involvement in the planning and implementation of the research protocols, and use of the results, the partner ensures that the research is steered toward relevant problems in the delivery of services, and that the solutions are transferred and applied in health practice.

TEAM OF INVESTIGATORS

A team usually consists of three to five researchers from complementary disciplines or fields, who share a common research interest of relevance to the health system, and who have a proven record of research. Members must either be affiliated with the sponsoring agency, or academically acceptable to the sponsor.

The team of investigators will spend a substantial portion of its time on the research activities of the unit. Unit research activities include the development and design of research protocols, implementation of these protocols using either the unit grant, or project support from a granting agency, and dissemination and application of the results to health services.

SUPPORT AVAILABLE

Through these grants, funds are available to cover two-thirds of the total annual costs of the unit including: salary and fringe

benefits of the principal investigators, research assistants and other support staff; minor equipment purchase; travel; supplies and services, and other operating expenses of the unit. The remaining third must be provided by the partner, sponsor or some other source. The sponsoring institution covers the overhead costs.

Initial support may be provided for up to five years. Subject to satisfactory progress and performance, and successful re-view of a renewal application, support may be continued for five more years.

Individuals receiving support under other Ministry programs are eligible to participate in a unit. In this case, the amount of the other award is counted as part of the Ministry's two-thirds contribution to the total costs.

THE APPLICATION

The application consists of the following components:

- Identification Sheet
- Research Program
- Unit Description
- Partner's Statement
- Sponsor's Statement
- Budget
- Résumés
- Reprints
- Appendices

Applications may be submitted in either English or French. All pages must be typewritten, double-spaced on A4 metric or 8.5 by 11-inch white paper. Pages in excess of the limits stated below may not be considered in the review process. Six copies of the complete application are required, one with original signatures.

Identification Sheet

This section of the application identifies the team, sponsor and the partner. Name, affiliation and address are required for each principal investigator in the team. One investigator must be designated as the contact person for the group. The names of the sponsoring agency and partner agency are required, and the name, title and address of an authorized official of these agencies.

All identified research team, sponsoring and partner agency applicants must sign the Identification Sheet indicating their understanding of the terms of the application, and their commitment to undertake their specified responsibilities if the grant is awarded.

Research Program
(maximum 10 pages)

In this section of the application, the proposed research activities of the groupare laid out. Details should be provided concerning:

- the rationale for the proposed area of research
- the goal and specific objectives of the research program
- a five-year plan for research activities, with specific targets for the first two years

A 200-word summary description of the research is to be included. The brief description should be in language suitable for communication to the general public, as it may be used in media releases, newsletters or reports if an award is made.

Unit Description
(maximum 10 pages)

An overview of the unit should beprovided, indicating the relationships between the components, and management and decision-making structures.

All members of the team of investigators are to describe their affiliations, relationship to, and role in the group, and past and anticipated contributions to the proposed research area.

The contact person for the group should also describe the non-principal members of the team, briefly summarizing the roles and responsibilities of the assistants and support staff.

Specific targets for administrative activities in the first two years should be provided.

Partner's Statement
(maximum 4 pages)

The official representing the partner agency indicates, in this component of the application, the partner's role in steering the activities of the unit, and expectations for application of the research results.

If the partner agency is providing support to the unit, a signed statement of this commitment should be included.

Sponsor's Statement
(maximum 1 page)

The authorized official for the sponsoring agency should prepare and sign this statement. The statement indicates the agency's commitment to cover the overhead costs of the unit, and describes the resources and facilities available.

If the sponsor is also contributing to the direct costs of the unit, a statement of this commitment should be included.

Budget

A detailed five-year budget is to be drafted, with years beginning July 1 and ending June 30. The budget should be in constant dollars, with no cost escalation or inflation included,

and should show unit direct operating expenses in the following categories:

- Personal Services - salaries for the principal members of the team, research and technical assistants, other support staff; employer's contribution to fringe benefits for each person in this category; consultants' fees.

  Salary requests should parallel those paid to similarly classified persons at the sponsoring agency or in the community.

  Personnel paid from the grant are not employees of the Ministry.

- Travel - fieldwork travel; investigator to travel to other centres for scientific meetings; visiting consultants for the exchange of project-related information.

- Equipment - minor research and other unit-related equipment. Office equipment may be included in the first year's request.

- Supplies and Services - expendable materials, telephone, postage, computer services, printing, photocopying, rental charges, repair costs, maintenance contracts. Where appli cable, unit cost and quantity should be specified.

- Other Sources of Revenue - specify other sources of funds and the amounts provided. A third of the total annual costs are to be obtained from other sources. If the other source is not the sponsor or partner agency, a signed commitment to provide funds must be attached.

In addition, a detailed budget justification is to be provided to explain the levels of funding requested in each category.

Résumés
(maximum 5 pages each)

Each principal member of the team should provide a résumé covering the most recent five years, giving details of education, training, employment, appointments, awards and grants received, publications and présentations.

Reprints

Up to one reprint may be included for each principal member of the unit, concerning research in the proposed area.

Appendices
(maximum 30 pages)

Up to 30 pages of other relevant material or documentation in support of the application may be appended.

REVIEW PROCESS AND CRITERIA

All applications submitted by the deadline are screened to determine eligibility within the terms of the program, and to rank the priority of the proposals according to their goals and objectives. Ministry staff from the research program, and from programs related to the proposals, participate in the screening phase.

All eligible applications are reviewed by a standing provincial committee of health research professionals from outside government who have recognized expertise in health systems research.

The review criteria used at this stage are given in Appendix A and include:

- the contribution of team members and other unit staff
- the linkage with and role of the partner agency
- the environment of the research program, and strength of the sponsor's commitment

- the relevance of research goals, and the feasibility of research plans

At a meeting, the committee discusses each application individually, and reaches a consensus on the category of the proposal as either unacceptable, acceptable, good or excellent. Members then assign a numeric rating within the agreed upon category. The individual ratings are averaged to yield a committee ranking for each application.

A short list of the highest-ranked applications is prepared for in-depth review by the provincial committee.

Site-visits or interviews are made to assist the committee with its review of all short-listed applications. Other experts, who are knowledgeable in the area of a particular proposal, may be asked to participate in the site-visits.

During the site-visit, committee reviewers and external consultants meet with unit members and representatives of the sponsor and partner, to discuss the application. Review criteria used at this stage are given in Appendix B, and include a more detailed assessment of the unit members and organization, the partner and the partner's relationship to, and linkages with the unit, and the research program.

At a meeting, the committee discusses all available information, and reaches a consensus on numeric ratings for the major components of each application (unit, partner, organization and research program). The committee then formulates a recommendation for support, or no support, for each application.

On completion of each stage of the review process, applicants are informed of the results, and provided with copies of all written assessments of their proposals.

PROGRESS REPORTS

Annual progress reports are required following completion of each award year ending June 30. The report is to be submitted by September 15, and should contain:

- a description of the year's of significant unit activities, indicating progress towards research goals and objectives, and explaining any modifications to the organization or program of the unit
- lists of grants applied for and received, and papers in preparation, submitted, in press and published
- partner's comments on own participation and unit's accomplishments

Within two years of the commencement of funding, the unit must demonstrate its ability to compete successfully for extramural operating grants for project support. Continuation of the unit grant beyond the second year is contingent upon the unit holding at least two appropriate extramural operating grants.

Progress reports will be reviewed by the standing provincial committee. Continuation of the grant is subject to satisfactory review of the annual report.

In the Fall following completion of the second award year, the committee will undertake a site-visit to assess progress toward the specific targets for research and administrative activities laid out in the proposal, and to determine specific plans for the next three years.

FINAL REPORT

A final report is to be submitted within six months of completion of the grant. Within a maximum of 20 pages, the final report should summarize the composition and goals of the unit, describe objectives, procedures and results of the research, discuss application of the findings by the partner, and describe plans for

the dissemination of new knowledge to the health care system in Ontario. Reprints of publications may be attached as appendices.

PUBLICATIONS

Research findings and data collected are the property of the team, the sponsor and the partner, except when the Ministry retains ownership of Ministry data sets, or specifies co-ownership of data sets.

Results should be made available to all individuals and groups in the health care system who may benefit from the research.

All publications should acknowledge the Ministry as a source of financial support, and indicate that the conclusions are those of the authors, and no endorsement by the Ministry is intended or should be inferred.

RENEWAL

To apply for funding beyond the first approval period, a complete application as described previously must be submitted, by December 1 following the fourth year of the initial award. In addition, the renewal application should contain a four-year summary progress report, including an assessment by the partner agency, and is submitted in lieu of the annual progress report.

Renewal applications are reviewed by the same process as new applications.

There is no possibility of support beyond the second five-year approval.

HEALTH SYSTEM-LINKED RESEARCH UNITS ADMINISTRATION

DEADLINES

There will be no general competition for new units in 1992-93. The next date for receipt of new applications is expected to be December 1, 1992. Applicants should contact the Ministry in the Fall of 1992 to confirm the submission deadline.

Progress reports are due on September 15.

NOTIFICATION OF AWARDS

A letter giving formal notification of award, and specifying the terms and conditions, will be sent to the designated contact person for the team of investigators. Copies of the letter will be provided to the sponsor.

METHOD OF PAYMENT

The award is effective for a 12-month period, beginning July 1. Awards commencing after July 1 will be prorated.

The Ministry will issue quarterly advance payments to the sponsoring agency. Statements detailing actual expenditures must be submitted within 15 days following the end of each quarter, and be signed by the designated financial officer of the sponsoring agency. Statements must be based on actual expenditures, not commitments.

All expenditures are subject to provincial audit, and sponsors are required to keep adequate accounting records.

Expenditures may not exceed the award. Any adjustments required due to under-expenditures during the year of the award will be made in a subsequent payment.

All payment related enquiries are to be directed to:

Co-ordinator, Financial Services
Training and Research Branch
Ministry of Health
8th Floor, Hepburn Block
80 Grosvenor Street
Toronto, Ontario
M7A 1R3

(416) 327-8731

AMENDMENTS

The designated contact for the unit must consult with the Ministry and obtain written confirmation of acceptance before any major alterations in the proposal are implemented; for example, absence of a principal investigator for sabbatical or maternity leave, change in key personnel, investigator's affiliation, or time commitment to research.

All expenditures for the unit must be consistent with the budget. Requests for budget amendments must be made in writing, and receive written confirmation of acceptance by the Ministry, before related expenses are incurred.

HEALTH RESEARCH PERSONNEL DEVELOPMENT

PURPOSE

The intent of this program is to provide career stability for a cadre of new clinical and community health researchers, to meet expected needs in the next 10 years.

Awards will be made to Ontario universities to provide personal support to individuals engaged in health research programs, either as trainees at the graduate student or post-graduate level (Fellowship), or as independent investigators (Career Scientists). The research programs may be located at the university itself, or at its affiliated teaching hospitals or associated research institutes.

DEFINITIONS

Applications are submitted by Ontario universities for programs in clinical or community health research, which are defined as:

Clinical related directly to patient care; for example: medicine, dentistry, nursing, rehabilitation, clinical psychology or pharmacy.

Community Health - involved in studies of groups in the community, or the development of methodologies appropriate to such studies.

The skills and methodology of epidemiology, biostatistics, health economics or administration may be applicable in either field.

FELLOWSHIP

PURPOSE

To provide outstanding individuals with the opportunity to undertake research training, either in a master's or doctoral degree program or by gaining experience in research methods, prior to career appointments in clinical or community health research.

CATEGORIES OF AWARDS

a. *Post-Graduate Research Experience* - for suitably qualified candidates who have completed all formal research and clinical training and who will acquire further research experience under supervision.

b. *Graduate Studies* - for fully qualified health professionals to undertake master's or doctoral degree programs; and for non-health professionals holding a master's degree to undertake a doctoral degree program.

ELIGIBILITY REQUIREMENTS

The goal of the program is to develop research personnel for Ontario. To be eligible for this award, candidates must in-tend, and be able to pursue a career in clinical or community health research in Ontario.

Applications are made by Ontario universities, on behalf of individuals seeking training in a research program located in the university, one of its affiliated teaching hospitals or associated research institutes or, in special circumstances, at another location.

For Graduate Studies fellowships, the degree program in which an applicant is to be registered must be a recognized graduate program. For example, in Ontario, the program must have received academic approval from the Ontario Council on Graduate Studies, and funding approval from the Ministry of Colleges and Universities. The program must have as its prime purpose the imparting of research skills directly relevant to clinical or community health areas and must involve a research thesis.

These awards are not available for individuals in programs restricted to advanced clinical training for health professionals. The training program must last at least 12 months.

Post-Graduate Research Experience fellowships must involve a minimum of 12 months' research training under the supervision of an established investigator in a clinical or community health research program.

All candidates must:

- have demonstrated a potential for, and personal commitment to, a career in health research in Ontario immediately following the research training fellowship
- ensure that all necessary authorizations from the fellowship supervisor and sponsoring department/university have been arranged prior to submitting an application
- commit their time fully to research training and related activities while holding the award
- not concurrently hold another major personal support award
- not concurrently hold a faculty position
- be a Canadian citizen or landed immigrant at the time of taking up the award

In addition, candidates applying for:

a. Post-Graduate Research Experience fellowships must have completed a doctoral degree (e.g. Ph.D., M.D., D.D.S.) or be a health professional with a master's degree (e.g. M.Sc.N.).

b. Graduate Studies fellowships must be either fully qualified health professionals (e.g. M.D., B.P.T.) applying for a master's or doctoral degree program; or non-health professionals holding a master's degree, and applying to undertake doctoral studies.

THE APPLICATION

The application consists of the following components:

- Cover Sheet
- Candidate's Program
- University's Statement
- Appendix
- Letters of Recommendation

Forms for the first three items are included in the "Health Research Personnel Award - Fellowship Application".

Four copies of the complete application are required, including one with original signatures. All pages must be typewritten. Applications may be submitted in either English or French.

A detailed description of the components of the application follows:

Cover Sheet

The form should be filled out completely. One copy of the application must have original signatures on the cover sheet.

Sufficient time should be allowed for processing within the university to obtain the appropriate authorization in advance of the application's deadline.

Candidate's Program

All questions should be completed. The summary description (200 words or less) should be in language suitable for communication to the general public as it may be used in media releases, newsletters or reports if an award is made.

The candidate's statement (maximum five single-spaced pages) should include:

- details of current status, describing responsibilities of present position and program, and information about re-search abilities, including projects for which grants have been received (or applied for)
- details of the proposed fellowship program, including a clear description of the type of training sought and its relationship to future career goals; and an outline of the proposed research
- an explanation of the choice of location, if the location of the program is not at the sponsoring university

The candidate's up-to-date curriculum vitae, transcripts from all academic work, and a list of research training should be attached to this form.

The supervisor's curriculum vitae and documentation of acceptance to the program should also be attached.

University's Statement

This section is to be completed and signed by the department chair at the sponsoring university. It is to include an evaluation of the candidate and the university's rationale for nominating the candidate and address the following points:

- candidate's past performance
- proposed training of the candidate during this fellowship program and its relevance to the sponsoring university's research priorities

- a description of the environment of the fellowship program, including opportunities to engage in research and the resources and facilities available
- candidate's potential for independent research and expected contribution to the sponsoring university's research program after completion of the fellowship program.

Appendix

A maximum of 10 pages of other relevant material or documentation supporting the candidate's application may be appended. Attachments exceeding the stated limit may not be reviewed.

Recommendation Letters

All candidates are to arrange to have two letters of recommendation from supervisors or associates familiar with the candidate's work, submitted directly to the Training and Research Branch (address page iii). If more than two letters are submitted for an application, only the first two received will be forwarded to the committee for review.

REVIEW CRITERIA AND PROCESS

Applications will be submitted for peer review by a provincial committee. The review criteria will include:

- applicant's academic and research background
- research environment where the applicant proposes to work
- supervisor's research record
- quality of research program and its consistency with stated career goals
- potential of the research training program and this applicant

Overall excellence is the primary selection criterion, but where two candidates are judged to be equal, the relative numbers in clinical and community health areas may become a decisive factor. Where the fellowship program involves graduate studies, preference will be given to Ontario degree programs.

Copies of written reports on applications are provided to applicants at the end of the competition. The review committee's discussion is not recorded in these reports.

To facilitate review, the review committee may request an interview or site-visit.

RESUBMISSIONS

Candidates who are not successful may resubmit an updated application to a subsequent competition, as long as eligibility requirements are met. A complete application is to be submitted following the same procedures as for new applications.

Resubmissions are subjected to review by the standing committee, using the same review criteria. The committee will also take into consideration their assessment of the previous application. Candidates are advised to highlight any new or updated information in their resubmission application.

AMOUNT OF AWARD

The amount of the award will depend on the candidate's qualifications and experience and type of research training sought, and is based on the provincial fellowship scale.

DURATION OF SUPPORT

The minimum award is one year. The maximum duration of an award depends on the type of training sought.

a. Post-Graduate Research Experience - an initial award may be approved-in-principle for up to two years.

b. Graduate Studies - the award may be approved-in-principle for the duration of the degree program, up to a maximum of four years for a doctoral program and up to two years for a master's program.

RENEWAL APPLICATION

Fellows acquiring supervised research experience may be awarded a third year of support under exceptional circumstances. This would require submission of a complete renewal application, a major progress report, and detailed justification of the special circumstances underlying the request.

Awards for graduate degree program fellowships are not renewable. A new application for a supervised research experience fellowship may be submitted by candidates completing a graduate studies fellowship program.

REPORTS

For fellowships lasting more than one year, a brief progress report is to be submitted by the sponsoring university, by April 1 each year. The report should describe the Fellow's progress to date and indicate any modifications to the fellowship program for the next year. The report should list presentations and publications, courses taken and completed, consultations to other projects, meetings attended, and any program modifications. The supervisor's evaluation of the Fellow's progress and any changes to the program are to be included.

A final report is to be submitted by the Fellow within 90 days after completion of the fellowship, summarizing accomplishments during the tenure of the award and providing a detailed description of career plans.

PUBLICATIONS

Any publications prepared or submitted during the tenure of the fellowship are to acknowledge the award by identifying the author as a Fellow of the Ontario Ministry of Health, Health Research Personnel Development Program.

CAREER SCIENTIST

PURPOSE

The goal of the program is to develop research personnel for Ontario. The program provides support to outstanding candidates to carry out independent research in a clinical or community health field. Starting in 1992, additional support is available for candidates in nursing and rehabilitation research, in recognition of the special development needs in these emerging areas.

INITIAL ELIGIBILITY REQUIREMENTS

Ontario universities may submit applications on behalf ofindividuals meeting the following requirements.

The candidate:

- must be able to pursue a career in clinical or community health research in Ontario
- must commit at least 75 per cent of his/her time to relevant research activities
- must carry out his/her research either at the university, or one of its affiliated teaching hospitals or associated research institutes
- must be legally entitled to employment in Canada at the time of taking up the award

In addition, candidates who are not eligible for Nursing or Rehabilitation research awards (see below) must:

- have completed a two-year post-doctoral training program or have equivalent experience
- have a maximum of two years of independent research

experience at the time of taking up the award

- not hold, at the time of application, an established faculty position supported from the regular operating funds of the university, institute or hospital

Nursing and Rehabilitation Career Scientists

- to be eligible for Nursing research personnel support, the candidate must:

  - be sponsored by the Nursing Department (Faculty or School)

  - be a registered nurse

- to be eligible for Rehabilitation research personnel support, the candidate must:

  - be sponsored by a Department (Faculty or Division) of Rehabilitation, Rehabilitation Medicine, Physical Therapy, Physiotherapy, Occupational Therapy, Communicativeb Disorders, or Speech-Language Pathology

  - have the necessary credentials to qualify for registration with the appropriate Ontario professional association, as attested to by that association (Ontario Society of Occupational Therapists, Board of Directors of Physiotherapy, Ontario Association of Speech-Language Pathologists and Audiologists). For example, B. Comm. Dis., B.Sc.P.T., B.Sc.O.T., M. Cl.Sc., M.Sc., Ph.D.

For both Nursing and Rehabilitation Career Scientist awards, preference will be given to candidates who:

- have completed post-doctoral training program or have the

equivalent

- are at the early stage (the first two years) of their independent research careers
  - be sponsored by the Nursing Department (Faculty or School)
  - be a registered nurse

- to be eligible for Rehabilitation research personnel support, the candidate must:
  - be sponsored by a Department (Faculty or Division) of Rehabilitation, Rehabilitation Medicine, Physical Therapy, Physiotherapy, Occupational Therapy, Communicative Disorders, or Speech-Language Pathology
  - have the necessary credentials to qualify for registration with the appropriate Ontario professional association, as attested to by that association (Ontario Society of Occupational Therapists, Board of Directors of Physiotherapy, Ontario Association of Speech-Language Pathologists and Audiologists). For example, B. Comm. Dis., B.Sc.P.T., B.Sc.O.T., M. Cl.Sc., M.Sc., Ph.D.

For both Nursing and Rehabilitation Career Scientist awards, preference will be given to candidates who:

- have completed post-doctoral training program or have the equivalent
- are at the early stage (the first two years) of their independent research careers

MAINTENANCE OF ELIGIBILITY

To maintain eligibility, all Career Scientists must:

- spend at least 75 per cent of their time on relevant research activities at the university, or associated hospital or institute
- maintain legal entitlement to employment in Canada
- not concurrently hold another major personal support award

In addition, career Scientists who are not holding Nursing or Rehabilitation awards:

- after the first year, must hold as principal investigator an operating grant-in-aid won in an extramural grants competition
- cannot hold an established faculty position supported from the regular operating funds of the university, institute of hospital. Career Scientists who are successful in obtaining a tenure track/stream faculty appointment are eligible for continuation of this award only until regular operating funds of the university, institute or hospital become available to support the position.

In addition to the general requirements for maintaining eligibility given above, Nursing and Rehabilitation Career Scientists must, after the second year, hold, as principal investigator, an operating grant-in-aid won in an extramural grants competition.

THE APPLICATION

The application consists of the following components:

- Cover Sheet
- Candidate's Statement

- University's Statement
- Appendix
- Letters of Recommendation

Forms for the first three items are included in the "Health Research Personnel Award - Career Scientist Application".

Eight copies of the complete application are required, including one with original signatures. All pages must be typewritten. Applications may be submitted in either English or French.

A detailed description of the components of the application follows:

Cover Sheet

The form should be filled out completely. One copy of the application must have original signatures on the cover sheet. Sufficient time should be allowed for processing within the university to obtain the appropriate authorization in advance of the application's deadline.

Candidate's Statement
(maximum 10 single-spaced pages)

This should include in his/her own words:

- description of current status detailing research, teaching (including graduate student supervision), and service activities, indicating time spent and level of involvement
- a description of the current research proposal, or protocols for which the candidate has received (or applied for) grants as a principal investigator, and a five-year outline of research direction and intentions. If this includes collaborative research with other health disciplines, then explicit details should be provided of the specific contribution of the candidate to a team effort

The candidate's curriculum vitae should be attached to this

form. The résumé is to be current and give details of employment, education, training, appointments, research experience, awards and grants received, and a list of publications and presentations.

University's Statement

This section is to be completed and signed by the program/department chair of the sponsoring university. It is to include an evaluation of the candidate and the university's rationale for nominating this candidate, and address the following points:

- candidate's past performance
- department/program and university need for the candidate in relation to current and future research plans and priorities
- the potential research environment for the candidate, including a description of the department/program, current faculty and health research resources and facilities available

Appendix

A maximum of 15 pages of other relevant material or documentation supporting the candidate's application may be appended. Attachments exceeding the stated limit may not be reviewed.

Letters of Recommendation

All candidates are to arrange to have two letters of recommendation from supervisors or associates familiar with the candidate's work submitted directly to the Training and Research Branch (address page iii). If more than two letters are submitted for an application, only the first two received will be forwarded to the committee for review.

REVIEW CRITERIA AND PROCESS

The mechanism is a peer review of individual applications by a provincial committee. Overall excellence is the primary selection criterion, but where two candidates are judged equal, the relative numbers in clinical and community health may become a decisive factor.

The review criteria will include:

- applicant's academic and research background, including qualifications and previous performance
- research environment where the applicant proposes to work
- quality of proposed research
- career potential of the applicant

Applications are sent for confidential written evaluation to other external experts who are knowledgeable in the applicant's field of research interest.

Copies of written reports on applications are provided to applicants at the end of the competition when the results are announced. The review committee's discussion is not recorded in these reports.

To facilitate review, the review committee may request an interview or a site-visit.

RESUBMISSIONS

Candidates who are not successful may resubmit an updated application to a subsequent competition, as long as eligibility requirements are met. A complete application is to be submitted following the same procedures as for new applications.

Resubmissions are subjected to review by the standing committee, using the same review criteria. The committee will also take into consideration its assessment of the previous application. Candidates are advised to highlight any new or updated information in their resubmission application.

Relative numbers in clinical and community health may become a decisive factor.

AMOUNT AND DURATION OF SUPPORT

Support will be approved-in-principle for up to five years. The amount of the award will be based on the candidate's qualifications and experience relative to the provincial Career Scientist scale.

A research allowance may be granted for use in the first year if the successful Career Scientist candidate does not hold an extramural grant-in-aid at that time.

PROGRESS REPORTS

Annual progress reports are required following completion of each award year on June 30. These reports are to be submitted by the university by August 31, and should contain a full description, for the year, of the candidate's research, teaching and service activities.

Research activities should be related to original plans, and the significance of any results to the research area should be indicated. Any modifications to the research program should be described and justified. Details of grants held on July 1 should be provided, including the amount, project title, co-applicants, agency, start and end dates. Publications and presentations should be listed.

A brief description of teaching and service activities should be given, indicating time involved, and including lists of courses taught, students supervised, etc.. The candidate's up-to-date curriculum vitae is to be attached.

Progress reports are reviewed by the standing provincial review committee. The guidelines used by the committee for reviewing progress reports are given in Appendix C.

FINAL REPORT

A final report is to be submitted within 90 days after completion of the award, summarizing accomplishments during the tenure of the award and providing a detailed description of career plans.

PUBLICATIONS

Any publications submitted during the tenure of the Career Scientist award are to acknowledge the award by identifying the author as a Career Scientist of the Ontario Ministry of Health, Health Research Personnel Development Program.

RENEWAL APPLICATION

Career Scientists who are eligible to receive more than five years of support under the program may apply for a renewal award. To apply for funding beyond the first five-year approval, it is necessary to complete a full application, as described below, by August 1, following completion of the fourth year of the award.

The renewal application consists of the following components in the order listed:

- Cover Sheet
- Candidate's Progress
- Candidate's Plans
- University's Assessment

Forms for the first four items are included in the "Health Research Personnel Award - Career Scientist Renewal Application."

Seven copies of the complete application are required, including one with original signatures. All pages must be typewritten.

A detailed description of the components of the application follows:

Cover Sheet

The form should be filled out completely. One copy of the application must have original signatures on the cover sheet. Sufficient time should be allowed for processing within the

university to obtain the appropriate authorization in advance of the application's deadline.

Candidate's Progress (maximum 5 single spaced pages)

This should cover:

- research activities, relating them to original plans, and explaining any major deviations from original intentions
- the significance of results to the research field and the candidate's development
- details of research grants held as principal investigator
- teaching (including graduate student supervision), and service activities, indicating time spent and level of involvement

The candidate's up-to-date curriculum vitae, and copies of publications arising out of work done during the award are to be attached.

Candidate's Plans

This should describe research direction and plans for the (maximum 5 single term of the renewal award. If this includes collaborative spaced pages) research, the candidate's contribution to the team effort should be described. Long-range career plans should be indicated and the relevance of the proposed research to these plans.

University's Assessment

This section is to be completed and signed by the department chair of the sponsoring university. It is to include an evaluation of the candidate and the university's rationale for recommending continuing support for him/her, and address the following points:

- candidate's research performance during the first term of the award

- department and university need for the candidate in relation to current and future research plans and priorities
- current research environment for the candidate, including a description of the department, faculty and health re-search resources and facilities available
- plans to provide salary support for the candidate following completion or termination of the award

REVIEW OF RENEWAL APPLICATIONS

All renewal applications will be subjected to peer review by the standing provincial review committee.

The review criteria will include:

- research performance and achievements during the first term of the award
- research environment
- quality of proposed research
- career potential of the applicant

Applications will be sent for confidential written evaluation to other external experts who are knowledgeable in the applicant's field of research interest.

Copies of written reports on renewal applications are provided to applicants at the completion of the review when the results are available. The review committee's discussion is not recorded in these reports.

To facilitate review, the review committee may request an interview or a site-visit.

HEALTH RESEARCH PERSONNEL DEVELOPMENT ADMINISTRATION

DEADLINES

The closing date for receipt of new and renewal fellowship applications is normally January 15. The closing date for receipt of new Career Scientist applications is normally November 15. Applicants should contact the Ministry in the Fall to confirm submission deadlines.

NOTIFICATION OF AWARDS

A letter giving formal notification of award is sent to the successful candidate, with a copy to the designated official of the university.

METHOD OF PAYMENT

The award is effective July 1 for a 12-month period. Awards commencing after July 1 will be prorated. The Ministry of Health will issue quarterly advance payments to the sponsoring agency.

Statements detailing actual expenditures must be submitted within 15 days following the end of each quarter, and be signed by the designated financial officer of the university. Statements must reflect actual expenditures, not commitments. Expenditures may not exceed the award.

As all expenditures are subject to provincial audit, universities are required to maintain adequate accounting records.

Monies not spent during the award year may not be held over for expenditure in subsequent years. Any adjustments required due to under-expenditures during the year of the award will be made in a subsequent payment. All payment-related enquiries are to be directed to:

Co-ordinator, Financial Services
Training and Research Branch
Ministry of Health
8th Floor, Hepburn Block
80 Grosvenor Street
Toronto, Ontario
M7A 1R3

(416) 327-8731

AMENDMENTS

During the tenure of the award, the Ministry of Health should be consulted about any substantial modifications to the candidate's program; e.g. time commitment to research, teaching and service; change in supervisor or department; maternity leave.

TRILLIUM CLINICAL SCIENTIST AWARD

PURPOSE

The purpose of this award is to honour distinguished clinical scientists working in Ontario, in recognition of their outstanding accomplishments in clinical research and their contribution to the enhancement of Ontario's health care system.

DESCRIPTION

The person will be formally recognized as the Trillium Clinical Scientist at an award presentation held in Toronto. The presentation will be attended by the scientist's peers and leaders in the health research community.

In addition, funds will be granted to the sponsoring Health Sciences Centre, to be used for clinical research development under the guidance of the Trillium Clinical Scientist.

SPONSOR

Ontario universities that incorporate a Health Sciences Centre may act as sponsors for these awards. The Trillium Clinical Scientist will be based at the sponsoring university, or its affiliated teaching hospitals or research institutes.

The sponsor undertakes to administer the research development grant, under the guidance of the Trillium Clinical Scientist.

ELIGIBILITY

Nominees for the Trillium Clinical Scientist award must:

- be an active full-time faculty member of a health science department
- hold an appointment at the rank of professor or equivalent
- have pursued a successful career in clinical research, of which the last five years must be within Ontario, with internationally-recognised achievements in clinical research and significant contributions to clinical teaching and service

- not have received this award before
- Universities are encouraged to choose nominees from as broad a base as possible, to reflect all health science faculties, and the diversity of Ontario's research community

NOMINATION PROCESS

Nominations are put forward annually by the Vice President (or equivalent) of Health Sciences at eligible Ontario universities. The usual deadline for nominations is August 31.

Each Health Sciences Centre may nominate up to three individuals. Universities are encouraged to choose nominees from as broad a base as possible, to reflect all health science faculties, and the diversity of Ontario's research community.

For each nominee, the following documentation should be provided:

- the nominee's up-to-date curriculum vitae, with separate sections for trainees supervised, grant funding received, peer-reviewed publications, other publications (meeting proceedings, book chapters), and abstracts (most recent year only)
- a letter from the nominee indicating understanding of the terms of the award and willingness to participate, and providing outline plans for use of the development grant associated with the award
- a statement (maximum two pages) from the nominee summarizing up to five most important contributions to clinical research, and their significance for health care. The corresponding (up to five) most significant publications are to be attached

- the Vice President's declaration of sponsorship, which includes the rationale for nominating the individual

- five letters of recommendation, which address the selection criteria. Only one letter of recommendation may originate from the sponsoring university, and at least one of which must originate from outside Canada.

SELECTION PROCESS

An international panel of distinguished clinical scientists will be assembled to assess nominations. The review will be completed at a meeting of the panel, at which all nominations are discussed, and the winner chosen.

In judging nominees, panellists will take into account:

- excellence of accomplishments as a leading clinical investigator

- clinical significance and impact of research on health care

- leadership role and influence in the development of other clinical scientists

- potential for future contribution to clinical research development

RESEARCH DEVELOPMENT

Following the formal award, which is usually presented during the winter, the Trillium Clinical Scientist will submit to the Ministry for review, plans for clinical research development utilizing the associated grant.

Up to $275,000 over five years, will be paid to the Health Sciences Centre in the name of the Trillium Clinical Scientist, for developmental activities such as:

- support for individuals in the early stages of their independent careers who are engaged in clinical research programs at the Health Sciences Centre, or its affiliated hospitals or institutes

- support for individuals undergoing research training who have a personal commitment to a career in clinical health research at the Health Sciences Centre

- research assistance (e.g. personnel, technical, computer services) for clinical research projects

- travel and other support for visiting scientists

- purchase, installation or upgrading of clinical research equipment

- resources helpful to clinical research; for example, library acquisitions

- other clinical research developmental activities

This grant may not be used as personal salary of the Trillium Clinical Scientist.

The Trillium Clinical Scientist, as well as the Ministry, is to be acknowledged in all activities supported by these funds.

HEALTH CARE SYSTEMS RESEARCH

DEFINITION

A health care system is a network of human and physical resources intended to provide health care to a defined population, and includes efforts to organize and deliver health care both through institutions, and at the community level.

PURPOSE

Through the Health Care Systems Research Program, the Ministry supports studies which evaluate aspects of Ontario's health care system, with a view to improving its cost-effectiveness, accessibility, and acceptability to consumers.

The program is divided into six sub-programs: research, feasibility, formulation, information, workshops and conferences.

RESEARCH

This sub-program supports major evaluative studies in the:

- the organization, quality, quantity and cost-effectiveness of health services or programs, including those at the community level
- the effectiveness of existing and new techniques or technology for consumer information, health promotion, prevention, detection, diagnosis, treatment, and rehabilitation
- health human resources planning and education
- the health and health care status of target populations, to measure the impact of life-style, behavioural, social and physical environmental determinants of health, and to assess resources in relation to needs
- the applications of information systems for program planning and evaluation, and decision making
- the development application of new research methodologies to address these areas

Through this sub-program, funds are granted to cover the direct operating costs of acceptable health care research projects based in Ontario. Where multi-centre studies involve locations outside Ontario, support through this program will usually be limited to the Ontario centres.

Support is given for evaluative studies. In some cases, support may also be given for developmental work that forms an integral part of an evaluative study, e.g. the development of laboratory techniques to identify infectious disease organisms. Plans must be included for application of the developmental work in an adequate clinical or epidemiological evaluation.

Studies of new drug treatments will only be considered for support if the evaluation of a scientific question is involved. Development of pharmaceutical products and projects establishing the efficacy of a drug for licensing purposes are not eligible for support from this program.

These grants are not intended to provide supplementary or interim funding for projects supported by other agencies. However, proposals may be submitted simultaneously to several interested agencies. The review of the proposal may then be coordinated and, if successful, shared or joint funding undertaken at the discretion of the agencies concerned.

Support is not provided by the program for basic research, major equipment acquisitions, educational programs or the provision of services which should be financed from service support programs.

Consideration can be given to some service funding when the research is related to a new and innovative health service, or when the service cost is increased during the course of the research, and offset savings cannot be identified by the sponsoring agency. No service funding can be provided beyond the termination date of the research project. Once the value of a

service is established, implementation of a service program is the responsibility of the investigator and the sponsoring agency.

FEASIBILITY

Prior to compiling a major research proposal, potential applicants are encouraged to consider the appropriateness of a feasibility study.

Feasibility grants are made to support the testing of particular feature(s) of a research project to demonstrate feasibility, in preparation for the submission of a complete research proposal to the Health Care Systems Research Program. These grants are normally limited to $15,000, for a period of up to nine months.

An example of the type of activity supported in this sub-program might be the development, validation, and reliability assessment of a measurement instrument.

The expected outcome from this type of support is the submission of a fully developed research proposal to the Health Care Systems Research Program.

Applicants should note that successful completion of a feasibility study does not guarantee approval or funding of the resultant major research proposal.

FORMULATION

Formulation grants support the development of research proposals. These grants, normally limited to $15,000, for a period of up to nine months are made to meet extraordinary costs involved in the formulation of a proposal, and are limited to individuals who do not normally have access to the resources necessary to develop a sound proposal. Eligible costs depend upon individual circumstances. Examples of activities supported in this sub-program may include:

- retrieval and analysis of data which is not immediately

available to the sponsoring agency

- limited travel expenses to visit another program or agency when the equivalent experience cannot be gained through correspondence

- the assistance of a research methodologist or other health professional

- demonstration of the feasibility of some feature of the study; for example, the development, validation, and reliability assessment of a measurement instrument

The expected outcome from this type of support is the submission of a fully developed research proposal under the Health Care Systems Research Program. The applicant is expected to take the major responsibility for developing the proposal. A formulation grant may not be used to purchase a proposal in its entirety.

Applicants should note that the successful completion of a formulation study does not guarantee approval or funding of the resultant major research proposal.

INFORMATION STUDIES

The objective of an information study is to make existing data available in a usable form. Two types of information studies may be supported through this sub-program:

- to provide information for planning or project development in a specific public health service program. The results are not expected to be applicable beyond the program for which the information is developed

- to provide additional information about the health status of Ontarians, using the data collected in the Ontario Health Survey. The results are to be made available to the Ministry

and all interested groups in the health care community

Applications for public health information studies should clearly state the uses and benefits of the information. Methodologies to be used should be detailed.

ONTARIO HEALTH SURVEY

Applications for secondary analysis of the Ontario Health Survey should indicate which survey questions will be used in the analysis, and provide information on the response to these questions, e.g. number of people surveyed, response rate. The analysis plans should be provided in detail. The planned interpretation of findings should be described, showing relevance to health care policies and programs.

Support may be provided for the retrieval, completion or analysis of the data. A grant under this sub-program is normally limited to $15,000 for a period of up to 12 months.

WORKSHOPS

This sub-program assists organizations to develop or implement workshops with the objective of increasing the research skills and understanding of individuals involved in community health care, who are not affiliated with academic institutions where such expertise is already available. The workshop may be local or provincial in scope. The award is normally limited to $5,000, for a period of one year.

CONFERENCES

A contribution towards the administrative and other costs of scientific meetings concerning health services-related issues of importance to Ontario, is available through this sub-program. The conference should have, as one of its objectives, the dissemination of applied health research information relevant to Ontario's health care system.

The meeting should be provincial or national in scope, and be located in Ontario. The award is normally limited to $5,000, for a period of one year.

Support is not available for annual meetings, or meetings for educational purposes, and is normally limited to one grant only, for a specific organization.

ELIGIBILITY FOR APPLICATION

Applications may be submitted by individuals or groups of individuals associated with a health agency in Ontario, including universities, hospitals, public health units, community groups or associations, or non-profit organizations. The health agency acts as the sponsor of project. All grants are made to the sponsor on behalf of the individuals.

SPONSOR

The sponsor assumes responsibility for the accounting and payment of all project expenses and will be reimbursed for actual expenditures within the approved budget.

The sponsor is expected to provide accounting and administrative services, research and office space as well as office furniture, routine secretarial services and equipment. The grant does not include remuneration of the principal investigator or payment of overhead charges.

Title to all equipment purchased with project funds will be vested in the sponsoring agency.

The sponsoring agency is responsible for acquiring and maintaining liability insurance acceptable to the Ministry.

The sponsor will monitor all research supported through these grants to ensure that it is conducted in an ethically acceptable manner.

In the case of a hospital or other institution that is a teaching unit of a university, the sponsoring agency is normally the university.

PREPARATION FOR APPLICATION

Investigators will find it helpful to study Appendix D (Criteria for Assessment) in order to anticipate the type of questions considered during the review of applications. These criteria are provided to all appraisers of the application.

When the proposed project requires the support and co-operation of other professionals, departments, associations, or health agencies, their willingness to co-operate must be clearly confirmed in correspondence appended to the application. Applicants are advised to seek co-operation before submitting the proposal.

THE APPLICATION

The application consists of the following components in the order listed:

- Cover form "Application for a Health Research Grant"
- Human ethics, animal and biosafety certificates
- Brief description of research in non-technical language (maximum of 300 words)
- Budget detail - minimum of two fiscal periods
- Future funding
- Project proposal (maximum 20 pages), plus a table of contents at the beginning and a list of references at the end
- Résumés (maximum 5 pages each)
- Appendices (maximum 30 pages in total)

Eight stapled copies, including one with original signatures, of the complete application are required for each proposed project,

whether it is new or a renewal. All pages must be typewritten, double-spaced, on A4 or 8-1/2 by 11-inch white paper. Typing must be at 10 characters per inch, four lines per inch, with one inch margins. The complete proposal, except for the table of contents and references, must be contained within the 20 page limit.

Applications that do not conform to the preceding guidelines or are considered difficult to read as a result of photo-reducing, dot-matrix printing etc. will be returned without review.

Applications may be submitted in either English or French.

A detailed description of the components of the application follows:

Cover Form

One copy of the application must have original signatures on both the cover form and certificates (discussed below). Sufficient time should be allowed for processing within the applicant's organization to obtain the appropriate authorization in advance of program deadlines. Agreement to assume administrative responsibility for the grant, if it is awarded, is indicated by the signatures of the sponsoring agency officials.

All co-applicants are required to sign, indicating their commitment to the implementation of the project, if it is funded.

The items "Total Cost of Project" and "Estimated Completion Date" refer to the project in its entirety, not just the two years covered in the application.

Certificates

a. Certificate - Ethics in Human Experimentation: All grant applications for projects which involve the use of human subjects or human material, the collection of survey data through application of a survey instrument directly to human subjects, or the collection of data contained in confidential records, will not be

accepted unless accompanied by a certificate from the sponsor's ethics review committee giving a recent assessment (within one year) of the study's current acceptability on ethical grounds.

The ethics review committee is expected to be constituted and to operate in accordance with the "Guidelines on Research Involving Human Subjects" published by the Medical Research Council (Ottawa, 1987).

In universities, the review is normally carried out by an internal standing committee. Members of the review committee must abstain if their proposal is being considered.

In other agencies, a committee can be formed for this purpose. Such specially formed committees cannot have as members, the applicant(s), consultants or individuals otherwise involved with the project.

The ethical review committee should consist of at least one representative appointed by the president or the agency's administration officer; two individuals (not associated with the proposed project) with knowledge of the potential benefits and risks in the area of the proposed research; individuals with expertise to advise the committee on aspects of the consent required for participation in the research; and one or more lay individuals who will reflect community values. Issues of concern to the ethical review committee will include the rights of individuals, informed and free consent, deception, privacy, confidentiality, necessity of the research, risk and benefit, and monitoring of intervention effects.

The ethical review committee will report on the form provided, signed by the research administration officer, or other authorized official, indicating the composition of the committee, and stating its opinion on the ethics of the protocol, including any conditions imposed.

If the committee finds the proposed project unacceptable, the application for a grant should not be forwarded.

If the research protocol changes during the term of the grant, it is the responsibility of the applicant to initiate a review and submit a new ethics certificate to the Ministry.

b. Certificate - Animal Experimentation: Grant applications which involve research on animals must be accompanied by the appropriate form signed by the chairman of the animal care committee and the research administration officer. This form indicates that the research will be carried out in accordance with the principles set out by the Canadian Council on Animal Care in its publication "Guide to the Care and Use of Experimental Animals". Animal research must be conducted in facilities currently registered under the Animals for Research Act (Ontario 1980).

c. Certificate - Biosafety: Proposed projects which involve the use of potentially biohazardous agents, identified in the report (and revisions) of the Medical Research Council on the "Guidelines for the Handling of Recombinant DNA Molecules, and Animal Viruses and Cells", are to be reviewed by the sponsor's biohazards committee. The certificate identifies the nature of the potential biohazard and the level of containment needed. The chairman of the biohazards committee, by signing the certificate confirms that the physical facilities, and laboratory and emergency procedures consistent with the containment level, do exist and are in operation.

Brief Description of Research

The description is to be 300 words or less in a language suitable for communication with the general public. If funding is awarded this description may be used in media releases, newsletters or reports. Include a brief outline of the objectives of the proposed research, method of investigation and the results expected. If the description is considered to be overly technical, the principal investigator may be asked to redraft it.

Budget Detail:

A sample presentation of budget detail can be found in Appendix E. The budget is to detail, for the next two fiscal periods, the estimated cost of the project in constant dollars. Annual increments or escalation factors are not to be incorporated into the second fiscal period amounts. The fiscal periods or portions thereof must coincide with the government's fiscal year which runs from April 1 to March 31. Separate amounts are to be shown for project requirements within the following categories:

- Personal Services - salaries or fees for professional assistants, graduate students, technicians, consultants, and other necessary support personnel, and employer's contribution to fringe benefits must be identified separately for each individual within this category. Indicate annual rates and time commitment to the project for all personnel. Salary requests should parallel those paid to similarly classified persons within the sponsoring agency or community. Principal investigators are not eligible for salary support from the project. Personnel paid from the Ministry's grants are not employees of the Ministry.

- Fieldwork Travel - funds essential for the collection of data or transportation of subjects or other field work travel

- Conference Travel - funds for principal investigator travel either to centres doing similar work for the purpose of obtaining first-hand essential information, or to scientific meetings for the presentation of project-related papers, will be considered if details are provided. The amount allowed for travel to meetings may be limited according to current guidelines.

- Equipment - minor items specifically required for the project which do not exceed a total value of $8,000 per annum. Requests for office equipment (desks, tape recorders, filing cabinets and calculators, etc.) will not be considered.

Applicants should consider both purchase and rental alternatives, provide information on the comparative costs, and the reason for their choice. If equipment is to be rented, the cost should appear in the Supplies and Services category.

- Supplies and Services - expendable materials, telephone, postage, purchase and boarding of animals, computer services, printing and photocopying, rental charges, repair costs, or maintenance contracts related to equipment used in the project. Where applicable, unit cost, quantity and total cost should be specified for an item.

- Offset Revenue - any other sources of funds and amounts provided, for any aspect of the project

Specify the fiscal period(s). Provide detail for each budget category and justify any costly or unusual items. Inadequate explanations of items in the budget can result in arbitrary decisions on the appropriate level of funding.

Future Funding:

A brief explanation of the need for financial support and how it can be provided after completion of the project, for any or all of the following:

- further research arising from this work

- implementation of new procedures or programs

- any continuing service component of the project

Service funding from research grants cannot be provided beyond the termination date of the research project. Once the value of a service is established, implementation is the responsibility of the investigator and the sponsoring agency.

Proposal

The detailed proposal must not exceed 20 double-spaced typewritten pages, A4 metric or 8 1/2 by 11 inch white paper. The

pages must be typed at ten characters per inch, have one inch margins and contain no more than four lines per inch. The proposal is to include:

- a table of contents (not counted in the 20 pages)
- objectives of the research and the underlying hypotheses
- present state of knowledge relative to proposed research and relevant work done by the applicant, including references to significant publications
- research design including a time-chart for major activities, methodologies, analysis of results, criteria for evaluating outcome
- economic analysis of cost-effectiveness, cost-benefit, or cost-utility, if pertinent
- relevance of the proposal to health problems in the province and benefits expected, in terms of target populations affected, improvements to the health care system etc.
- a list of references in the usual scientific format (not counted in the 20 pages)

Résumés

Include for each applicant, a five-page résumé. Excess pages may not be considered in the review process.

Appendices

Include supporting documents such as letters from consultants, other departments, associations, or service agencies whose co-operation is necessary to conduct the project. The nature and extent of their commitment must be clearly described.

Other relevant appendices may be added to the application. They should be distinct from the proposal itself and limited to a total of 30 pages. Excess pages may not be considered in the review process. Attempts should be made to present all information of major relevance to the project in the 20 page proposal.

CONTINUATIONS

Funding for projects lasting more than one year is usually approved-in-principle for two fiscal periods. Application to continue beyond the end of the first fiscal year of a project originally approved-in-principle for two fiscal periods, is made by submitting a brief progress report (maximum 5 pages) by January 15 of the first fiscal year. The progress report should describe achievements to date in implementing the proposal and indicate the status of instrument development, subject recruitment, data collection and results. Any modifications to the work plan or timetable should be described. If changes to the project for the second fiscal year are anticipated, a revised budget detail and explanation may be submitted. Otherwise funding will be considered at the level originally approved-in-principle.

RENEWALS

To apply for up to two more years of funding, it is necessary to complete an application as described previously. All components are required, including: cover sheet with appropriate signatures; updated certificates; brief description; budget detail for up to two years, with the second year in constant dollars, without inflation or annual increments; future funding; updated résumés; appendices. However, in place of the detailed proposal, a summary of the project rationale, objectives and methods, and a complete progress report are required (maximum 20 pages). The progress report is to demonstrate that headway has been made towards achieving the objectives of the proposal.

Include for example, details on:

- new findings in the literature, or advances in the field, and

their relevance to the project

- the development of instruments or procedures for the project
- the status of data collection, and subject entry
- findings to date
- any modifications to overall work plan, timetable, or budget, with explanation

Copies of reprints and manuscripts arising from the project may be included as appendices (maximum 30 pages).

INFORMATION STUDY APPLICATIONS

Applications are to include all details previously outlined in sections 1 to 8.

FEASIBILITY AND FORMULATION APPLICATIONS

Applications to these sub-programs are for funds to support the development of a complete research proposal. The application covering form, certificates, brief description, budget detail, supporting documents, résumés, and appendices should all relate to the specific tasks to be carried out in order to achieve this purpose. The detailed proposal should include the objectives, background work, relevance, methodology and analysis details as far as they are known, for the major proposal. Some aspects of the major proposal will, of course, be incomplete. These features should be highlighted as the objectives to be addressed by the feasibility/formulation proposal. Methodology and analysis details for the tasks to be undertaken to address these objectives should be included. Criteria of successful outcome are to be explicitly stated, so that there is a basis for judging whether feasibility has been demonstrated, and that a major proposal can be constructed in complete form.

WORKSHOPS/ CONFERENCES APPLICATIONS

An application to these sub-programs consists of thecovering form, budget detail, and a description of the workshop/conference which includes information about the objectives, format, target population, expected attendance, method of evaluation, and other sponsors or major contributors.

REVIEW PROCESS

Research and information study applications to the Health Care Systems Research grants program are subjected to peer review by the standing program committee. An application is first considered by Ministry officials and the committee chair to determine eligibility within the terms of reference of the program. If acceptable, it is considered by the review committee.

The review committee comprises health professionals from outside the government. They are selected for their expertise in research methodology as well as knowledge in a clinical field or areas such as economics, biostatistics, computer sciences, or epidemiology.

Applications are sent for confidential written evaluation to other external experts who are knowledgeable in research methodology or in a field relevant to the particular proposal. Applicants may submit, in a covering letter with their proposals, the names of up to three knowledgeable individuals, who do not have a conflict of interest with the proposal, who may be invited to submit evaluations.

The review committee may seek by letter or personal interview, clarification from the applicants on specific aspects of the proposal.

When a proposal relates to an existing government program, it is reviewed internally by the responsible area, to assess program and policy implications.

In a meeting of the full committee, the applications are discussed and debated with the assistance of the external appraisals, internal reviews, and information from interviews and written responses. The applications are considered with regard to scientific merit and relevance to health priorities.

Following discussion of an application, the committee reaches a consensus on the category of scientific merit for the proposal as either unacceptable, acceptable, good or very good. Each committee member then assigns a numeric rating for scientific merit (within the established category) and for relevance. The merit and relevance ratings are averaged and combined to give an overall score for each application.

Those applications which achieve a passing score are recommended to the Ministry for support. The committee may recommend full, partial or conditional support. The initial recommendation on new applications may span up to two (government) fiscal periods. Any continuance of support beyond the initial recommendation is subject to review of progress through a renewal application.

Copies of written reports on proposals are provided to applicants at the end of the competition when the results are announced. The review committee's discussion is not recorded in these reports.

Formulation and feasibility study applications are also reviewed by the standing program committee, but are not normally sent for further external evaluation. The review is conducted by correspondence. Any written comments provided by reviewers will be forwarded to the applicant when the review is completed.

Conference and workshop requests are reviewed within government by the relevant program area.

FINAL REPORTS

Six copies of a final report are to be submitted no later than six months after termination of funding by the Ministry. As part of the ongoing evaluation of programs supported through the Ministry, final reports are subjected to review by the committee which recommended support of the project.

Final reports which are deemed acceptable by the review committee are forwarded to related program areas within the government. One copy is kept in the Ministry library, for public access. The committee's comments on the final report are provided to the investigator.

Research and Information Studies

A final report consists of not more than 20 pages and should contain:

- a comprehensive summary of the objectives, procedures and methods of the research
- a clear statement of the findings obtained together with supporting data
- conclusions and discussion of applications of the new findings
- plans for publication and dissemination of results to other health care professionals and organizations

A one page abstract, suitable for communication with the general public must be provided.

Reprints of publications and copies of addresses given at scientific meetings may be attached as appendices.

Investigators may refer to the "Guide for Evaluation of Final Reports" (Appendix F) for examples of the types of questions considered during committee review of the report.

Feasibility/ Formulation Proposals: The final report for a formulation/feasibility study will depend on the success of that study. If the study is successful, a fully developed research proposal to the major grant program is acceptable as the final report of the formulation/feasibility study. If results indicate that it is not feasible to pursue the research, then a final report is required which clearly outlines the reasons for such a conclusion, and gives suggestions for new approaches to the problem.

Workshops/Conferences: A final report summarizes the proceedings of the workshop or conference, and may include program content, attendance record, participants' evaluations, conclusions, and an assessment of attainment of goals.

PUBLICATIONS

The research findings are the property of the investigators and the sponsoring agencies. Principal investigators are encouraged to make their findings available to individuals and groups which may benefit from the research. The Ministry and the specific research program should be acknowledged as a source of financial support. All publications should indicate that the opinions contained are those of the authors, and no official endorsement by the Ministry is intended or should be inferred.

DEADLINES

Research and information study applications must be received by May 1 or November 1 of each year.

Feasibility, formulation, workshops and conference applications may be submitted at any time.

NOTIFICATION OF AWARD

A formal letter of award is sent at the beginning of each fiscal period to the investigator, with a copy to the designated official of the sponsoring agency. The letter provides authority to incur project expenses for items and amounts specified in the budget detail. Any expenditures or commitments made in excess of the budget are not the responsibility of the Ministry. The notification is valid only for the period specified. Any unspent funds at the end of the fiscal period must be returned to the Ministry.

The Ministry reserves the right to terminate a grant without cause at any time by providing written notice of the termination.

METHOD OF PAYMENT

During the fiscal period, quarterly advance payments will be provided to the sponsoring agency.

Statements detailing actual expenditures must be submitted within 15 days following the end of each quarter, and be signed by the designated financial officer of the sponsoring agency. Statements must be based on actual expenditures, not purchase orders or commitments. As all expenditures are subject to provincial audit, sponsors are required to maintain adequate accounting records.

Final statements must cover goods or services received before March 31 and must be submitted by April 15, if not stated otherwise. Investigators are advised to check with their sponsors who may have an earlier internal deadline for submitting claims.

Funds unspent at the end of each fiscal year cannot be carried over to the next fiscal period. Any adjustments required due to under-expenditure during the award period will be made in a subsequent payment.

The ministry retains the right to reduce the award for a project, in consultation with the sponsor and the investigator, if expenditures during the first months of the award period are significantly below the level of disbursements indicated in the budget.

Payment-related enquiries should be directed to:

Co-ordinator, Financial Services
Training and Research Branch
Ministry of Health
8th Floor, Hepburn Block
80 Grosvenor Street
Toronto, Ontario
M7A 1R3

(416) 327-8731

AMENDMENTS

The grantee must consult with the Ministry and obtain written confirmation of acceptance before any major alteration in the project is implemented.

If the grant holder is to be absent for a significant length of time during the award, for example, for sabbatical or study leave, alternative arrangements for responsible supervision of the project must be submitted for acceptance by the Ministry, prior to the absence.

All expenditures on the project must be consistent with the budget. Funds may be transferred between the budget categories Personal Services, Fieldwork Travel, and Supplies and Services. All other deviations from the budget require formal amend-

ment. Requests for amendments must be made in writing, and receive confirmation of acceptance by the Ministry, before the related expenses are incurred. Final requests for amendments are to be made prior to January 15.

ADDICTION, HEART, CANCER AND MENTAL HEALTH RESEARCH

The Ministry provides financial assistance to the research programs of the addiction, heart, cancer and mental health foundations.

Investigators in the fields of addiction, heart, cancer or mental health may wish to direct research inquiries to one of the following foundations:

Addiction Research Foundation
33 Russell Street
Toronto, Ontario
M5S 2S1
(416) 595-6000

Heart and Stroke Foundation of Ontario
477 Mount Pleasant Road, 4th Floor
Toronto, Ontario
M4S 2L9
(416) 489-7100

Ontario Cancer Treatment and Research Foundation
7 Overlea Boulevard, 2nd Floor
Toronto, Ontario
M4H 1A8
(416) 423-4240

Ontario Mental Health Foundation
365 Bloor Street East, Suite 1708
Toronto, Ontario
M4W 3L4
(416) 920-7721

DISTRICT HEALTH COUNCIL PROJECTS

Special project funds are available to district health councils only, so that priority issues may be considered in a detailed and professional manner. Special project objectives are to be tied as closely as possible to the council's mandate to co-ordinate and plan health care services. The funds may be used to hire contract staff or consulting firms to assist the core council staff.

Applications for special project funding will be considered on the basis of the following criteria:

- Projects must meet an urgent need as expressed either by the council or by the Ministry.
- Projects may include:

  a study of local health care needs in order to establish health care priorities for the community

  a study of a specific issue within the district relating to priority provincial issues
- Projects must be designed to produce definitive conclusions or recommendations within a reasonable time period, normally not more than one year.

Enquiries for research support from this Program should be directed to:

Director
Health Planning Branch
6th Floor
15 Overlea Boulevard
Toronto, Ontario
M4H 1A9

(416) 965-4462

EMERGENCY HEALTH SERVICES RESEARCH

The Emergency Health Services Branch provides grants to assist designated base hospitals fulfil their leadership role in emergency health services research.

The following topics are of particular interest:

- Recognition and surveillance of sudden injury/illness
- Prevention of sudden injury/illness
- Injury/Trama
- Prehospital care provision (basic and advanced)
- Quality assurance mechanisms in EHS
- Cost effectiveness in EHS
- Emergency department functions that directly affect patient care:

    Facilities
    Communications
    Equipment
    Triage
    Information systems
    Resuscitation
    Critical care
    Investigation
    Diagnoses
    Follow up

- EHS personnel
- Efficacy of educational methods in EHS

Enquiries for research support in this area should be directed to:

Project Officer
EHS Research Advisory Committee
Emergency Health Services Branch
7th Floor
7 Overlea Boulevard
Toronto, Ontario
M4H 1A8

(416) 963-1178

HEALTH PROMOTION GRANTS PROGRAM

The Health Promotion Grants Program supports community-based health promotion projects leading to a healthier life-style and improved quality of life for individuals.

Non-profit organizations are eligible to apply. Preference is given to projects which:

- support community-wide participation in developing and implementing effective health promotion projects
- improve the ability of existing health related programs and services to provide effective health promotion and disease prevention services
- enhance the opportunities for all segments of the Ontario population to have access to health promotion information and services
- increase knowledge and skills leading to attitude and behaviour change
- facilitate the sharing of information and co-ordination of health promotion programs and services among organizations and individuals
- foster the development of innovative health promotion projects which may provide examples to other communities

Further information, including guidelines and submission forms are available through district health councils or by contacting:

Co-ordinator
Health Promotion Grants Program
Ministry of Health
Suite 1401, 700 Bay Street
Toronto, Ontario M5G 1Z6

(416) 324-7175

HOSPITAL INCENTIVE FUND

The Hospital Incentive Fund provides support to hospitals to initiate and evaluate innovative processes, systems and procedures for the cost-effective management of hospital resources and the maintenance of high-quality patient care.

Topics of interest include, but are not limited to:

- utilization management
- alternatives to in patient care
- education of board members, administration and staff
- human resource planning and management
- organizational and planning analysis
- management information systems
- outcome measurement

Further information may be obtained from:

Co-ordinator
Hospital Incentive Fund
Policy and Support Unit
Main Floor
7 Overlea Boulevard
Toronto, Ontario
M4H 1A8

(416) 324-6924

ONTARIO HEALTH SURVEY

The Ministry of Health conducted a major health survey in the province between January and November, 1990.

The Ontario Health Survey was designed to provide baseline statistical data on the health of the Ontario population, with descriptive information available at the health unit/district level. It will provide information on the social, economic, physical, and behavioural factors that contribute to health.

The survey questionnaires were developed to provide data comparable to that collected in the Canada Health Survey and the Quebec Health Survey. The Ontario sample size was approximately 50,000 individuals, allocated equally to the 42 public health units in the province.

Files for analysis will be available in the Fall of 1991. Researchers are encouraged to begin planning now to make use of this database. Financial assistance for analyses of survey data is available through the Information Studies component of the Health Care Systems Research Program.

More information about the survey and availability of data may be obtained from:

Manager
Ontario Health Survey
Information and Systems Division
2nd Floor
15 Overlea Boulevard
Toronto, Ontario
M4H 1A9

(416) 965-0908

ONTARIO NURSING INNOVATION FUND

The Ontario Nursing Innovation Fund has been established to stimulate group projects that will help to recruit and retain more Ontario nurses, and to fund professional development for individual Registered Nurses (RNs) and Registered Nursing Assistants (RNAs).

Eligible groups for projects include health care facilities, universities and colleges, groups of RNs or RNAs or any other group with a strong interest in nursing, in Ontario. Projects must be applicable to other facilities or work places in the province. Funding is available for pilot programs or start-up costs on a one-time basis only, not to finance ongoing programs.

The fund will also help RNs or RNAs to attend professional development programs in nursing, including courses, conferences, workshops and teleconferencing. To qualify applicants must be Ontario residents registered with the College of Nurses of Ontario. Grants of up to $1,500 are available.

For full details of the Fund please contact:

Nursing Grants Program Officer
Nursing Innovation Fund
Training and Research Branch
Ministry of Health
8th Floor, Hepburn Block
80 Grosvenor Street
Toronto, Ontario
M7A 1R3

(416) 327-8333

APPENDIX A *Stage I Review Criteria*

The following guidelines are used by committee reviewers to prepare a report for each application.

THE TEAM/UNIT

- Who are the members, and what are their affiliations?
- Do they hold suitable appointments or positions?
- What are their time commitments and tradeoffs?
- What is their common research interest?
- Do they have track records in this area?
- What will they do differently under program funding?
- Does the team have the appropriate mix and balance of expertise?
- Do unit staff members have suitable skills to support the research team?

THE PARTNER

- What is the partner's involvement in health services?
- Is the partner's role clearly defined?
- Is the partner suitable for this team and research program?
- Does the partner provide access to study/target populations?

THE SPONSOR

- Does the sponsor provide a suitable base for the unit?
- What commitment has the sponsor given?

ORGANIZATION	• What linkages exist and are proposed between the re-search team and the partner? • Is the partner involved in the policy decision making and research activities of the unit? • Are suitable mechanisms in place to keep the partner involved?
THE RESEARCH PROGRAM	• What health issues is the program focused on? • What health care burden is being addressed? • What usable findings could the research yield? • What use will the partner make of the findings? • What is the potential impact of the research program on the health care system? • Is the five-year research plan sensible, achievable, and justified? • Are research questions and methods of investigation identified? Are they suitable?
SOURCES OF SUPPORT	• Have adequate matching funds been identified? • What commitments have been made, in terms of space and administrative support?

APPENDIX B Stage II Review Criteria

The following guidelines are used by the site-visit reviewers to prepare a report for each application.

THE TEAM/UNIT

- Assess the excellence of each member of the team, in terms of academic achievement, background, track record in this area, and contribution to the planned research.
- Is each member's role within the team essential to the research program? Do individual investigators' areas of expertise complement each other?
- Comment on the collective accomplishments and potential of the team as a whole to carry out the research program.
- Are the support personnel of the unit sufficient and appropriately qualified to conduct their proposed activities?

THE PARTNER

- What is the scope and importance of the partner's involvement in health services?
- Does the partner adequately reflect the component of the helth system under investigation?
- Is a distinct and independent role for the partner clearly identified and is it appropriate?
- Have realistic expectations been clearly laid out?
- How relevant are the research program's objectives to the partner?
- Has the partner demonstrated strong commitment to the unit?

THE SPONSOR/ ENVIRONMENT	• Has the sponsor indicated adequate support and commitment to the unit (including ethics review and monitoring)?
	• Has the sponsor made arrangements to permit the team to function effectively?
	• Are the physical facilities and administrative support services adequate?
	• Is an adequate patient population or clinical base available?
	• Does any required co-operation or participation of other agencies or individuals appear likely?
ORGANIZATION	• Are all unit roles, decision making and management procedures clearly laid out, and are they adequate for cohesive functioning of the unit?
	• Are the linkages between the unit and the partner appropriate to the partner's role?
	• Are linkage mechanisms sufficient to keep the partner involved?
	• Is the partner's role in policy decision making and research activities adequate?
THE RESEARCH PROGRAM	• Are objectives and goals clearly stated and are they reasonable?
	• Are the objectives justified on the basis of current knowledge in this area?
	• Are the methodologies for achieving objectives indicated with sufficient detail? Are they appropriate?

- Is the research plan feasible, and will it address objectives and meet goals within five years?
- Where appropriate, does the research plan address the economic impact of the research outcomes?
- What is the relevance of the research program in terms of the importance of the problem area addressed, the advancement provided through this program and the impact on the health care system of implementing the findings?

BUDGET

- Is the budget realistic in terms of the aims of the unit?
- Are all costs explained and justified?
- Are other sources of support adequately documented and are they sufficient?

APPENDIX C *Guidelines for Review of Progress Reports*

The following questions are provided as guidelines to committee reviewers:

- Does the candidate hold an appropriate extramural research grant?
- Is he/she spending 75% of his/her time on relevant research?
- Has the candidate made progress in implementing his/her research plans?
- If the original research directions have been revised are the departures justified?
- Has the candidate produced findings from the research studies which advance knowledge in this area?
- Has he/she disseminated the new knowledge through appropriate publications and presentations?
- Has the candidate personally acquired new knowledge and expertise in the research area?
- Is he/she contributing to the department's research through collaboration and consultation?
- Has the candidate undertaken suitable teaching and service activities consistent with his/her research career development?

Overall Assessment of Progress (unsatisfactory, satisfactory, outstanding)

APPENDIX D Criteria for Assessment

The following format and questions are provided as a guideline to committee reviewers and external appraisers.

NEW APPLICATIONS

Project Assessment

Discuss the strengths and weaknesses of the proposal in regard to:

- statement of objectives and project rationale
- relationship to other work done in this area
- adequacy and appropriateness of the study approach
- methods for obtaining and analysing information use of study findings
- plans for managing the project
- feasibility of accomplishing stated aims

Project Resources

a. Human:
Are the training and accomplishments of the investigators suitable as they relate to the proposed study? Has the applicant identified sufficient and appropriate personnel to carry out the study? Has the applicant documented evidence of support from consultants, or agencies whose co-operation or participation is required in the study?

b. Physical:
Are the physical facilities, clinics, laboratories, computing support, etc. adequate to carry out the study? Is there an adequate source of subjects and supplies?

Economic Aspects

Is the proposal likely to have an important economic impact in reducing the costs or increasing the efficiency of health services? Has the applicant provided, where appropriate, an adequate cost-effectiveness, cost benefit or cost-utility analysis?

Budget

Is the budget realistic in terms of the aims of the proposal? Are all items justified on the basis of the procedures and methodology to be used? Has the applicant taken into account other possible income? Has the applicant indicated possible sources for support of any service portion of the project after completion of the research phase?

Relevance

Provide your personal judgement on the importance of the health problem addressed by this project and the advancement which this project would provide if it met its objective. Comment on the immediacy with which results may be applied in human health care, and the potential client population affected.

Ethics

Have all the ethical issues raised by this project been identified and resolved?

Recommendation

Recommend on the disposition of the proposal; that is, full, partial or conditional funding, or no support.

RENEWAL APPLICATIONS

Applications for renewal of support for projects previously funded will be accompanied by a summary of the project and a progress report on the work accomplished to date of submission.

Please use the project summary, the progress report, and the following criteria to assess the following aspects of the project:

Project Management

- have the original aims and methods been modified?
- has the applicant adhered to the original timetable?
- have the costs of the project changed?
- is adequate justification provided for departures from the original aims, methods, timetable, or budget?
- will the project, in its current form, meet its research objectives?

Scientific Merit and Relevance

Please comment on the incremental value of the information to be obtained from additional support for the study. In particular, please indicate if advances in the research area since the project began have reduced its scientific merit or relevance, and call into question the value of continuing the project for another two years.

Recommendation

Recommend on further funding for the project, there is full or partial continued funding, or terminal support

APPENDIX E *Sample Budget*

Budget detail must be specified for two fiscal periods (unless the project will be complete within one period). The fiscal periods must coincide with the government's fiscal year (April 1 to March 31) or portion thereof. Annual increments or escalation factors are not to be included for the second or subsequent fiscal year of the budget.

FISCAL PERIOD:

September 1 to March 31

Personal services	Annual Rate	Months	%Time	$
Principal Investigator	-	7	20	NIL
Co-Investigators	-	7	5	NIL
Professional Assistant	$	7	100	$
Research Trainee		5	50	
Summer Student		4	100	
Technician		7	75	
Consultant fee				
Other personnel				
Employer contribution to fringe benefits (specify the percentage contribution to fringe benefits for each employee)				

SUB-TOTAL $_____

Fieldwork Travel

Fieldwork travel including subject travel $

Travel expenses for visiting consultants

SUB-TOTAL
$_____

Conference Travel

Presentation at scientific meetings $
Visits to other centres doing similar work

SUB-TOTAL
$_____

Equipment

List items of equipment identifying individual amounts $

SUB-TOTAL
$_____

Supplies and Services

Tests and procedures $
e.g. radiology
Laboratory supplies
(no. of units and unit cost)
Telephone (installation
and/or service charges)
Postage
Equipment rental
(give details)
Fees for photocopying
or duplicating
Fees for computer time
(quote hourly rate and
number of hours)
Fees for equipment
maintenance or repairs
Reprints

SUB-TOTAL
$_____

TOTAL

$_____

Less other revenue
(identify sources)
$_____

Net cost
$_____

BUDGET JUSTIFICATION	To avoid arbitrary decisions on the appropriate level of funding explanations of items in the budget must be provided.
Personal Services	For each position a brief job description should be given to account for the qualifications and skills specified and to justify the level of funding. Workload should be estimated to justify the amount of time employed on the project.
Fieldwork Travel	Average cost per trip and number of trips should be estimated and explained for fieldwork travel. Travel expenses for visiting consultants should be separated into airfare, taxi, meals, and hotel costs.
Conference Travel	Details of visits to conferences and other centres should be provided.
Equipment	Quotes from suppliers should be provided, and the comparative cost of rental included.
Supplies and Services	Whenever appropriate, number of units and unit costs should be explained. Quotes from the supplier should be provided for purchased services; e.g. computing, equipment repair.

APPENDIX F Guide for Evaluation of Final Reports

The evaluation of final reports by reviewers should include the following:

1. Assessment of study outcome:

- Were the objectives fulfilled?
- Are the conclusions valid?
- Did the project contribute to the knowledge of health care?
- Do the results obtained justify the funds expended?

2. Dissemination of results:

- Are the investigator's plans adequate for publication and dissemination of results to other health care professionals and organizations?
- Are the results likely to be used elsewhere?

3. Conclusions:

- Is the final report acceptable?
- Is further dissemination of the results recommended?